



0300 #3  
LUD 5250.27

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Andrew Goodearl et al.

Serial No. : 08/734,592

Filed : October 22, 1996

For : GLIAL MITOGENIC FACTORS, THEIR  
PREPARATION AND USE

I hereby certify that this correspondence is  
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Patents and Trademarks, Washington, D.C.  
20231, on December 20, 1996

**FELFE & LYNCH**  
By Arnette Abdelleh

December 20, 1996

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

LETTER  
REGARDING SEQUENCES (37 C.F.R. §1.821(e))

Sir:

In response to the Notice to File Missing Parts, mailed December 6, 1996,  
applicants submit herewith a paper copy of the "Sequence Listing". Normally, a sequence  
diskette would be required; however, according to 37 C.F.R. §1.821(e):

"If the computer readable form of a new application  
is to be identical with the computer readable form of  
another application on file in the office, reference  
may be made to the other application and computer  
readable form in the new application. The new  
application shall be accompanied by a letter making  
such reference to the other application and computer  
readable form, both of which shall be completely  
identified."

The computer readable form of the sequences for this new application is to be identical to information contained in application Serial Number 08/036,555 to Goodearl, et al., filed March 24, 1993 now United States Patent Number 5,530,109 issued June 25, 1996, which is the parent of the subject application. The computer readable form which is identical between the two cases is to be found on a diskette, filed in the U.S. PTO on or about May 2, 1995.

Respectfully submitted,

FELFE & LYNCH

By Madeline F. Baer  
Madeline F. Baer, Ph.D.  
Reg. No. 36,437

805 Third Avenue  
New York, New York 10022  
(212) 688-9200



UNITED STATES DEPARTMENT OF COMMERCE  
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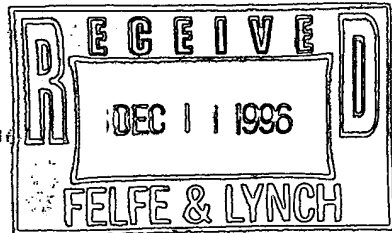
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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4d 5250.27 CONT

08/734,592 10/22/96 GOODEARL

0232/1206

FELFE & LYNCH  
805 THIRD AVENUE  
NEW YORK NY 10022



CNS-5250.27-

*Sequence Listing Due*  
*2-6-97*

DATE MAILED: 0000

12/06/96

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted ALONG WITH THE PAYMENT OF A SURCHARGE for items 1 and 3-6 only of \$ 130 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ large entity ☐ small entity (verified statement filed), is \$ 0.

☐ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required. Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing.
- ☐ does not cover the newly submitted items.
- ☐ does not identify the application to which it applies.
- ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are:

- ☐ missing.
- ☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☒ 8. The application does not comply with the Sequence Rules.  
See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the response.

*Customer Services*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

Application No.:

08/734,592

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

For PatentIn software help, call (703) 308-6856

**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE**